



BAU2152

#5

PATENT
60709-00012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Nancy E. Barton, et al.

: Group Art Unit: 2152

Serial No. 09/848,051

: Examiner:

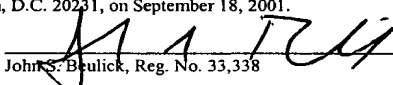
Filed: May 3, 2001

For: METHODS AND SYSTEMS FOR
COMPLIANCE PROGRAM
ASSESSMENT

RECEIVED
SEP 25 2001
Technology Center 2100

CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on September 18, 2001.


John S. Beulick, Reg. No. 33,338

INFORMATION DISCLOSURE STATEMENT

1. ☒ Pursuant to 37 CFR 1.97(b)
[within 3 months of filing or prior to 1st Office Action]
2. ☐ Certification Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
3. ☐ Fee Payment Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
4. ☐ Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d)
[before Issue Fee payment]

Hon. Commissioner for Patents
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:

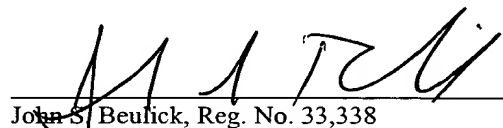
5. ☒ A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This Paper is submitted in accordance with:

6. ☒ 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
7. ☐ 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
8. ☐ The required certification made in item 11 below; or

9. — The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
10. — 37 CFR 1.97(d): [before issue fee payment]; and
- a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch _____, Date of Allowance _____"), and
- b) The required Certification is stated in item 11 below.
11. — Certification
12. ✓ Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
13. — No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
14. ✓ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.

Respectfully submitted,


John S. Beulick, Reg. No. 33,338
Armstrong Teasdale LLP
One Metropolitan Square, Suite 2600
St. Louis, MO 63012
(314) 621-5070



RECEIVED

SEP 25 2001

PATENT
60709-00012

Please Type a plus sign (+) inside this box →



Technology Center 2100

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: US DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	09/848,051
				Filing Date	05/03/2001
				First Named Inventor	Nancy E. Barton
				Group Art Unit	2152
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	60709-00012

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	AA	6,148,297		Swor et al.	11/14/2000	
	AB	5,939,974		Heagle et al.	08/17/1999	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	FA		WO98/11477		Fetherston, Denis	03/19/1998		

OTHER PRIOR ART - - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the items (book, magazine, journal, serial, symposium, catalog, etc.), data, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	BA	International Search Report, for Application No. PCT/US01/14278, filed 03 May 2001, for General Electric Capital Corporation.	
	BB	MALTBY, JOSEPHINE: "Environmental audit: Theory and practices." Managerial Auditing Journal, v10n8 pp: 15-26.	
	BC	MACHARG, MARCIA: "Making the case for legal compliance audits." International Financial Law Review, Apr 1997, v16n4, pp. 9, 13+.	
	BD	CLAYCAMP, H. GREGG, Industrial Health Risk Assessment: "Industrial hygiene for technology transition." American Industrial Hygiene Association Journal, May 1996, v57n5, pp. 423-435.	
	BE	PANNKUK, LOIS; BAUMAN, DODIE. Avoiding the perils of noncompliance. ABA Bank Compliance, May/June 2001, v22n5, pp. 40-52.	

Examiner Signature		Date Considered:	
--------------------	--	------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a checkmark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.